

FIG. 1

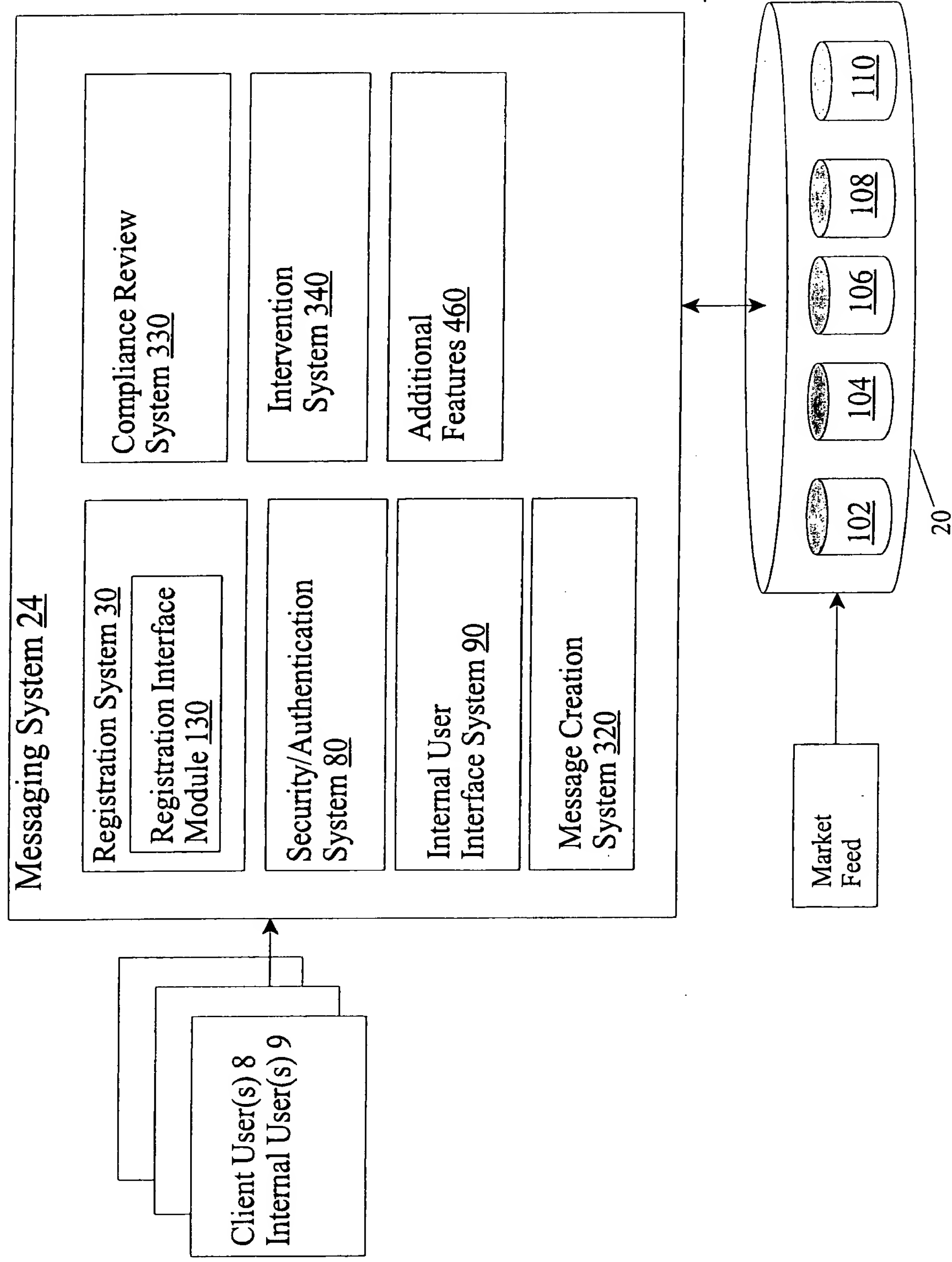


FIG. 2

31

34

36

38

AB1234	YES <input type="checkbox"/>	NO <input type="checkbox"/>
AB3456	YES <input type="checkbox"/>	NO <input type="checkbox"/>
AB4567	YES <input type="checkbox"/>	NO <input type="checkbox"/>

32

42

44

46

48

DETAILED MESSAGE	YES <input type="checkbox"/>	NO <input type="checkbox"/>
NOTIFICATION ONLY (VIEW MESSAGES WITHIN SYSTEM)	YES <input type="checkbox"/>	NO <input type="checkbox"/>

40

EMAIL ADDRESS

50

FIG. 3

096893.104300

http://dskp1/external_main.html - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit

Address http://dskp1/external_main.html

Links Customize Links Free Holmes Windows Windows NT Software

E-lert PaineWebber E-lerts Prototype

Your E-lert Inbox Your E-lert Preferences

Your Preference Setup

Step 1: Pick your accounts that you want to receive E-lerts for.

Account Number	Account Title	Select?
AB11111	Mr. Joe De Maggio	<input checked="" type="checkbox"/>
AB11112	Mr. and Mrs. Joe and Holly De Maggio	<input checked="" type="checkbox"/>

Step 2: Tell us where you want your E-lerts sent.

Delivery Device Type: Email Delivery Device: Work Email Email/Phone Number: joe@pw.com

Optionally, do not deliver E-lerts from [] to []

Add Device

Here are the delivery devices that you have configured

Delivery Device	Email/Phone Number	Enabled?	Delete?
Work Email	joe@pw.com	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Home Phone	212-333-5212	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Step 3: Tell us which E-lerts you want to receive.

E-lert Category: Trading Related E-lert Type: Expiring Options Delivery Device: Work Email Format: Generic

Add E-lert Create Custom E-lerts

Here are the E-lerts have chosen to receive

E-lert Category	E-lert Type	Delivery Device	Format	Enabled?	Delete?
Trading	Execution	my Pager	Short	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Portfolio	Expiring Options	Work Email	Long	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Submit

FIG. 5

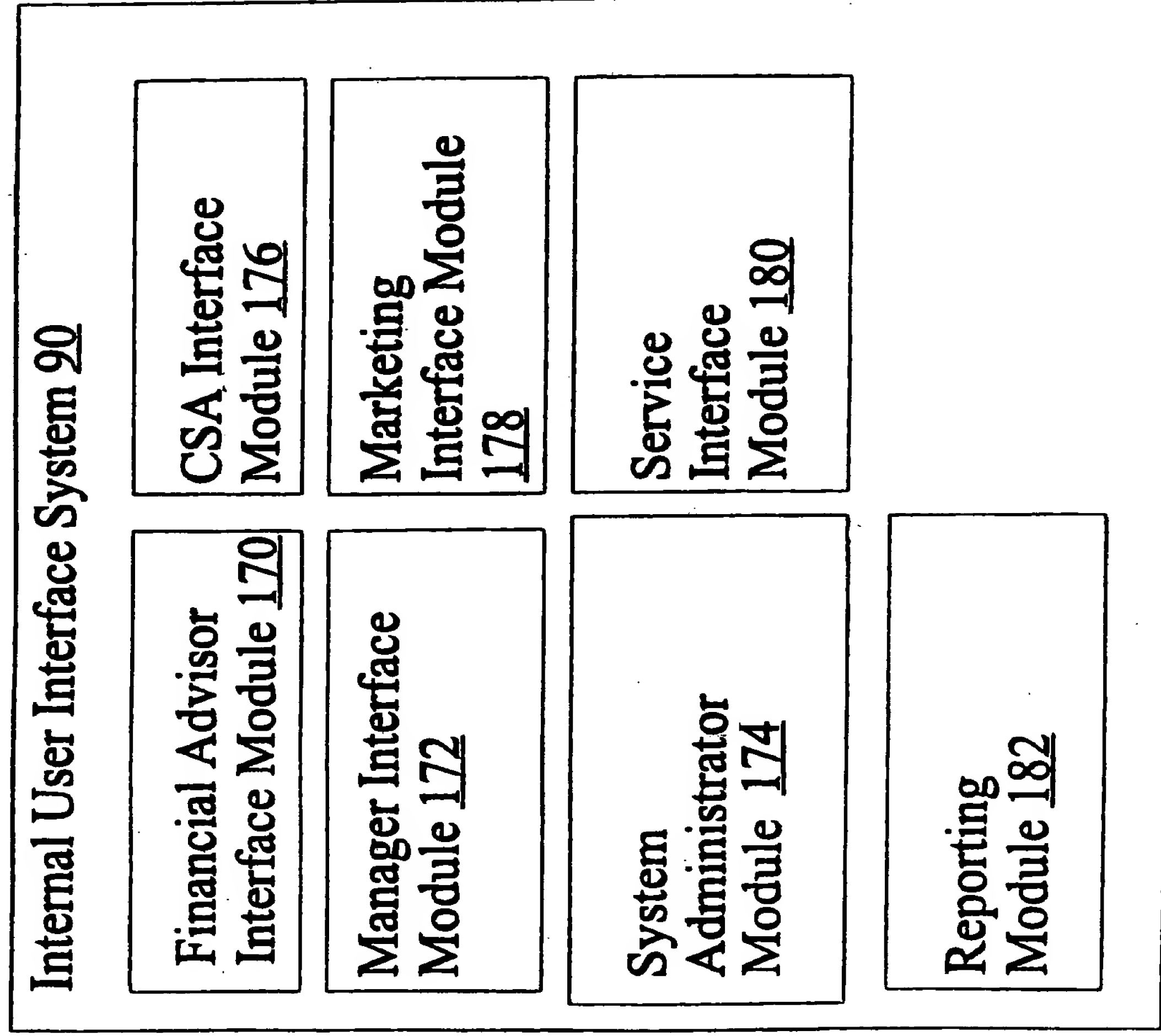


FIG. 6

09607893 404300

186

PatnaWebber E-Alert System

FA Preference Setup

Step 1: Select your delivery device

To add a device, enter the device information and click Add Device.

Type: ☐ Email ☐ Name: E-mail/Phone No.:

Optionally, turn off E-alerts from to

Add Device

Your delivery choices

Device Name	E-mail/Phone No.	Enabled?	Delete?
Work Email	jamth@pw.com	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Pager	(212) 678-2000	<input checked="" type="checkbox"/>	<input type="checkbox"/>

188

198

Step 2: Select your E-alert

To add another E-alert Type, enter the E-alert information and click Add E-alert.

E-alert Category: Message Type: Delivery Device: Format:

☐ Portfolio Related ☐ Expiring Options ☐ Work Email ☐ Long FA

Select clients for re-up E-alerts

☐ All My Clients OR Select Clients

Add E-alert

Your current E-alerts

E-alert Category	Message Type	Delivery Device	Format	Enabled?	Delete?	Client
Marketing Info	New Product Feature	Work E-mail	Long FA	<input checked="" type="checkbox"/>	<input type="checkbox"/>	N/A
Research	All	Work E-mail	Long FA	<input checked="" type="checkbox"/>	<input type="checkbox"/>	N/A

199

200

202

204

206

208

209

210

Step 3: Select client E-alert if you want a copy

To add another E-alert Type, enter the E-alert information and click Add E-alert.

E-alert Category: Message Type: Delivery Device: Format:

☐ Portfolio Related ☐ Expiring Options ☐ Work Email ☐ Long FA

Select clients for whom you want to receive a copy

☐ All My Clients OR Select Clients

Add E-alert

You have the following copy of Client E-alerts

E-alert Category	Message Type	Delivery Device	Format	Enabled?	Delete?	Client
Portfolio Related	Expiring Options	Work Email	Long	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Client List

212

224

225

226

Submit

FIG. 7

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http://dskpl/demo/internal_main.htm - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit

Address: http://dskpl/demo/internal_main.htm

Links: Customized Links Free Hotmail Windows Windows NT Software

PaineWebber E-Port System

Search Clients

Step 1: Enter search criteria to look up clients

Client Name: Account Number: EDGE Login: Portfolio Value: 0 to 200000 **193**

Search

These are the clients that match your criteria

Clients that have signed up for this type of E-Port will be automatically included in this roll up E-Port in addition to the clients you have selected below

Client Name	Account Number	EDGE Login	Portfolio Value	Select?
Joe Smith	AB11111	JSmith	\$50,000	<input type="checkbox"/>
Nikki Martin	AB22222	NMartin	\$20,000	<input type="checkbox"/> 195
Jim Schmitz	AB33333	JSchmitz	\$30,000	<input type="checkbox"/>

Done

Local intranet

FIG. 8

http://dskpt/Internet_main.htm - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit

Address: http://dskpt/Internet_main.htm

Links: Custom Links Free HTML Windows Windows NT Software

PalmeWebber E-Int System

FA View of Client Preferences

Step 1: Select the client for whom you want to view preferences.

Client Name: Joe Account Number: 232 EDGE Login: Portfolio Value: \$ to \$

Search

Client Name	Account Number	EDGE Login	Portfolio Value	Show Preferences
Joe Smith	PT 38980	JSmith	\$50,000,000	Show Preferences
Joe Martin	AB 63209	NMartin	\$32,000,000	Show Preferences
Joe Schmitz	GY 47934	JSchmitz	\$23,000,000	Show Preferences

Step 2: Review delivery options for the client.

To add a delivery option, enter the details and click "Add Device".

Delivery Device Type: 236 Email Delivery Device: 238 Work Email Email/Phone Number: 240 joe@pw.com

Optionally, do not deliver E-Ints from to

Add Device: 244

Delivery Device	Email/Phone Number	Enabled?	Delete?
Work Email	joe@pw.com	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Home Phone	212-333-5212	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Step 3: Review E-Ints for the client.

To add another E-Int type, enter the E-Int information and click "Add E-Int".

E-Int Category: Trading Related E-Int Type: Expiring Options Delivery Device: Work Email Format: Generic

Add E-Int: 248 250 252 254

E-Int Category	E-Int Type	Delivery Device	Format	Enabled?	Delete?
Trading	Execution	my Pager	Short	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Portfolio	Expiring options	Work Email	Long	<input checked="" type="checkbox"/>	<input type="checkbox"/>

There are the E-Ints the Client has chosen to receive.

To review Custom E-Ints for the client, click on the link below.

☒ Client has setup Custom E-Ints 258

Review Custom E-Ints for this Client

Step 4: Select a Reply to for the client.

Reply to: Me (Client's FA) 260

Submit

FIG. 9

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09:59:40

http://dskp1/demo/internal_main.htm - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit

Address http://dskp1/demo/internal_main.htm

Links Customer Links Free Home Windows Windows NT Software

PaineWebber E-Alert System

Client List for Expiring Options E-Alerts

FA Preferences

FA View of Client Preferences

FA View

Touchpoint

Client Name	Account Number	EDGE Login	Portfolio Value	Delete?
Walt Whitman	AB11111	WWhitman	\$250,000	<input type="checkbox"/>
Stephen King	AB22222	SKing	\$100,000	<input checked="" type="checkbox"/>
Ralph Emerson	AB33333	REmerson	\$150,000	<input type="checkbox"/>

Delete Selected

Done

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Local intranet

FIG. 10

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PaineWebber E-Alert System

FA Preferences

FA View of Client Preferences

FA View

Management View

E-Alert Maintenance

Touchpoint

Registration and Login

FA View

My E-Alerts

My Clients' E-Alerts

To sort the result set, click on any of the column headers

E-Alert Count: 2

Status	Date	E-Alert Category	Subject	Message	Delete?
	10/12/1999	Portfolio	Expiring Options	The following options of your	<input type="checkbox"/>
	10/12/1999	Product Info	New Product Feature	Marketing Technology annou	<input type="checkbox"/>

Delete Selected

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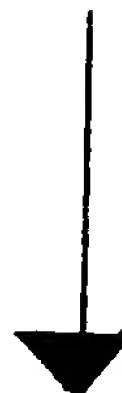
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FIG. 11

1990-1991		1991-1992		1992-1993		1993-1994		1994-1995		1995-1996		1996-1997		1997-1998		1998-1999		1999-2000		2000-2001		2001-2002		2002-2003		2003-2004		2004-2005		2005-2006		2006-2007		2007-2008		2008-2009		2009-2010		2010-2011		2011-2012		2012-2013		2013-2014		2014-2015		2015-2016		2016-2017		2017-2018		2018-2019		2019-2020		2020-2021		2021-2022		2022-2023		2023-2024		2024-2025		2025-2026		2026-2027		2027-2028		2028-2029		2029-2030		2030-2031		2031-2032		2032-2033		2033-2034		2034-2035		2035-2036		2036-2037		2037-2038		2038-2039		2039-2040		2040-2041		2041-2042		2042-2043		2043-2044		2044-2045		2045-2046		2046-2047		2047-2048		2048-2049		2049-2050		2050-2051		2051-2052		2052-2053		2053-2054		2054-2055		2055-2056		2056-2057		2057-2058		2058-2059		2059-2060		2060-2061		2061-2062		2062-2063		2063-2064		2064-2065		2065-2066		2066-2067		2067-2068		2068-2069		2069-2070		2070-2071		2071-2072		2072-2073		2073-2074		2074-2075		2075-2076		2076-2077		2077-2078		2078-2079		2079-2080		2080-2081		2081-2082		2082-2083		2083-2084		2084-2085		2085-2086		2086-2087		2087-2088		2088-2089		2089-2090		2090-2091		2091-2092		2092-2093		2093-2094		2094-2095		2095-2096		2096-2097		2097-2098		2098-2099		2099-2100		2100-2101		2101-2102		2102-2103		2103-2104		2104-2105		2105-2106		2106-2107		2107-2108		2108-2109		2109-2110		2110-2111		2111-2112		2112-2113		2113-2114		2114-2115		2115-2116		2116-2117		2117-2118		2118-2119		2119-2120		2120-2121		2121-2122		2122-2123		2123-2124		2124-2125		2125-2126		2126-2127		2127-2128		2128-2129		2129-2130		2130-2131		2131-2132		2132-2133		2133-2134		2134-2135		2135-2136		2136-2137		2137-2138		2138-2139		2139-2140		2140-2141		2141-2142		2142-2143		2143-2144		2144-2145		2145-2146		2146-2147		2147-2148		2148-2149		2149-2150		2150-2151		2151-2152		2152-2153		2153-2154		2154-2155		2155-2156		2156-2157		2157-2158		2158-2159		2159-2160		2160-2161		2161-2162		2162-2163		2163-2164		2164-2165		2165-2166		2166-2167		2167-2168		2168-2169		2169-2170		2170-2171		2171-2172		2172-2173		2173-2174		2174-2175		2175-2176		2176-2177		2177-2178		2178-2179		2179-2180		2180-2181		2181-2182		2182-2183		2183-2184		2184-2185		2185-2186		2186-2187		2187-2188		2188-2189		2189-2190		2190-2191		2191-2192		2192-2193		2193-2194		2194-2195		2195-2196		2196-2197		2197-2198		2198-2199		2199-2200		2200-2201		2201-2202		2202-2203		2203-2204		2204-2205		2205-2206		2206-2207		2207-2208		2208-2209		2209-2210		2210-2211		2211-2212		2212-2213		2213-2214		2214-2215		2215-2216		2216-2217	
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FIG. 12

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PaineWebber E-Alert - Microsoft Internet Explorer provided by Sapient New York

File Edit View Go Favorites Help

Back Stop Refresh Home Search Favorites History Channels Favorites Mail Print Go

Address http://dskp1/internal_main.htm

PaineWebber E-Alert System

CSA View of Client E-Alerts

Step 1: Choose the View you want to use

☐ FA E-Alerts ☒ FA Client's E-Alerts 280

Step 2: Enter search criteria

Wire Code FA FA get a copy Date EDGE Login Client Name Account Number E-Alert Category Subject

☐ ☒ 10/25/1000 282

Search Results

To see the result set, click on any of the column header.

E-Alert Count: 4

Wire Code	FA	FA get a copy	Date	EDGE Login	Client Name	Account Number	E-Alert Category	Subject	Message	Delete
PVM2	FA1	<input checked="" type="checkbox"/>	10/25/1000	JWoods	Joe Woods	PT 52332	Portfolio	Closing Balance	The Closing Balance of your	<input type="checkbox"/>
PVM2	FA2	<input checked="" type="checkbox"/>	10/25/1000	TWoods	Tiger Woods	PT 52332	Portfolio	Expiring Options	Your 100 options of IBM at \$60	<input type="checkbox"/>
PVM2	FA1	<input checked="" type="checkbox"/>	10/25/1000	BSmith	Bob Smith	PT 52381	Trading	Busted	Your order to BUY 500 I at MKT	<input type="checkbox"/>
PVM2	FA2	<input checked="" type="checkbox"/>	10/25/1000	JDoe	John Doe	PT 52380	Marketing Info	Open	An order to SELL 500 at MKT	<input type="checkbox"/>

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FIG. 13

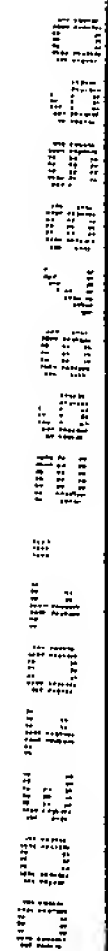


FIG. 14

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PaineWebber E-Alert - Microsoft Internet Explorer provided by Sapient New York

File Edit View Go Favorites Help

Back Stop Refresh Home Search Favorites History Channels Favorites Mail Print

Address http://dtkp1/internal_main.htm

PaineWebber E-Alert System

FA Preferences

FA View of Client References

FA View

Management View

E-Alert Maintenance

Touchpoint

Registration and Login

Add/Edit Disclaimer

Enter the Title and Text of the Disclaimer

Disclaimer Title:

Disclaimer Text:

Save

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FIG. 15

09637892.104300

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PalinWebber E-Alert - Microsoft Internet Explorer provided by Sapient New York

Address: http://ddp1/internal_main.htm

PalinWebber E-Alert System

Add Message Type

Supplies the type and format of the message

Message Type: Frequency:

Category: Deliver Starting:

Data Source: Valid Until:

Disclaimer:

Date Created:

304 306 308 310 312

Device	Audience	Sheet	Format				Select?
			Long	Long FA	Generic	Generic	
E-mail	FA CSA & Clients	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	
E-Alert Inbox	FA CSA & Clients	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	
ConsultNet	FA only	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	
Pager	FA CSA & Clients	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	
Palm Pilot	FA CSA & Clients	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	
Other PDA	FA CSA & Clients	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Fax	FA CSA & Clients	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	
Phone	FA CSA & Clients	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
Instant Messaging	FA CSA & Clients	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Network Printer	FA CSA & Clients	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	

300 302

Create E-Alert Template

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For local intranet zone

FIG. 16

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PaineWebber E-Alert - Microsoft Internet Explorer

File Edit View Favorites Tools Help

PaineWebber E-Alert System

Create E-Alert Template

Step 1: Select the default "Reply To" field for the E-Alert message.

Reply To: CSA

Step 2: Enter the short message using columns from the column list.

Short Description

Step 3: Enter the long message using columns from the column list.

Long Description

Step 4: Enter the long FA message using columns from the column list.

Long FA Description

FA Preference
FA View of Client Preferences
FA View
Management View
E-Alert Maintenance
Touchpoint
Registration and Login

Done Local intranet

FIG. 17

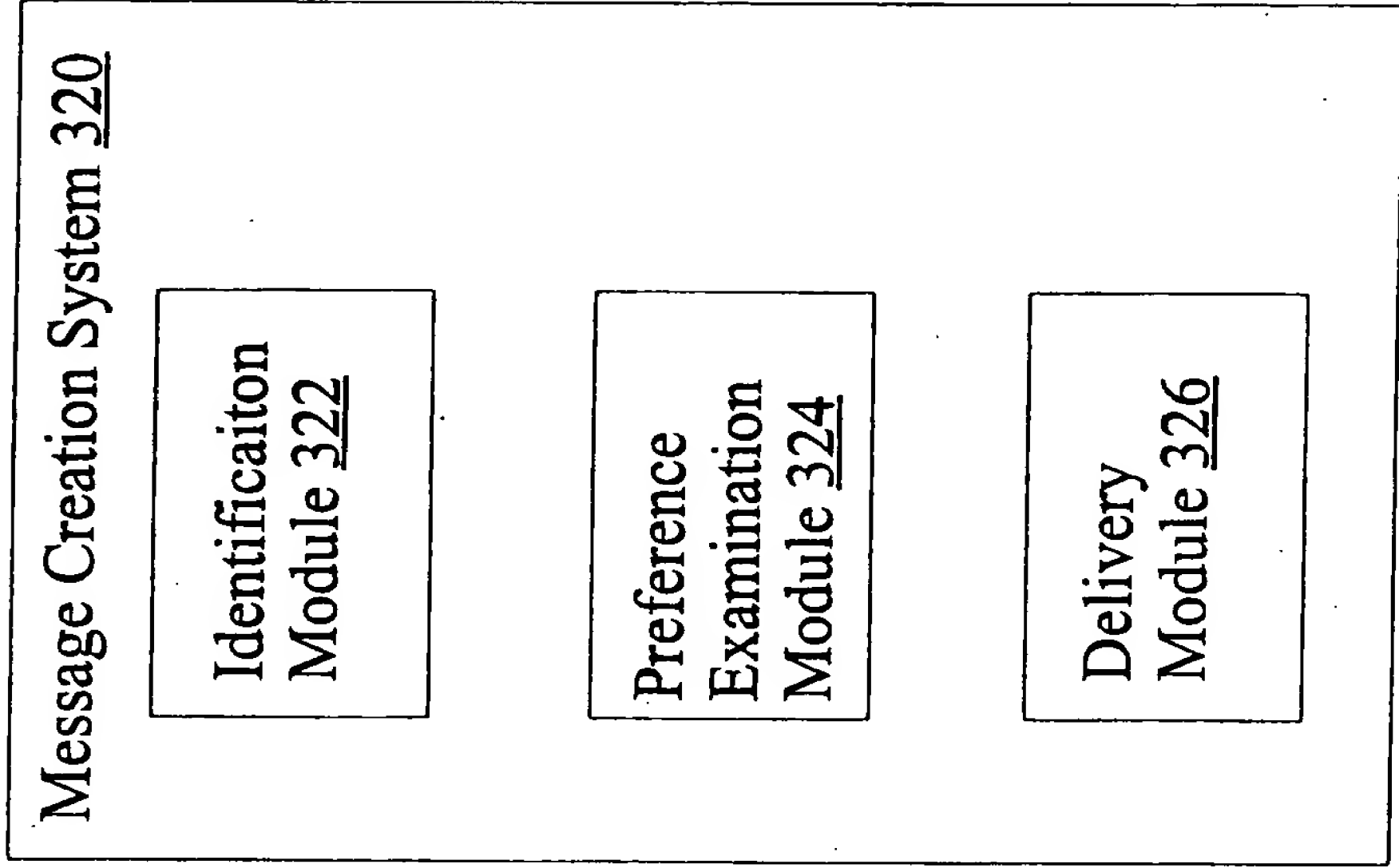


FIG. 18

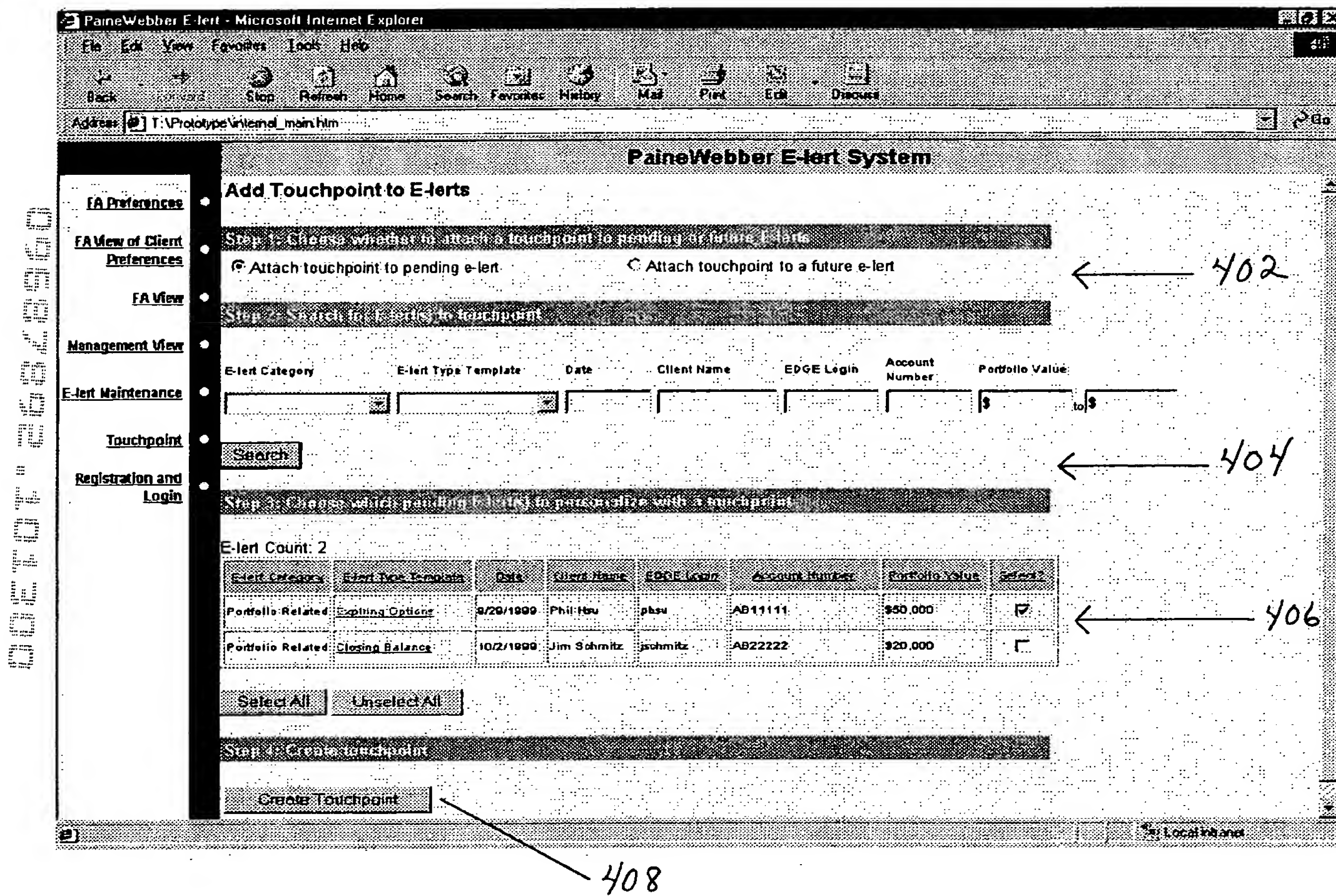


FIG. 19

Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail News Live Origins

Address [T:\Prototype\internal_main.htm](#)

PaineWebber E-lert System

Create New Touchpoint for Pending Explring Options E-lert

Step 1: Enter Name, Address, Email, and Reply To

Expires on (mm/dd/yyyy)

Reply To

Step 2: Enter Salutation

Salutation

E-lert Template Text

Your 100 options of IBM at \$50.00 strike price are expiring September 21, 1999

Step 3: Enter Signature

Your option expires 10-01-00. Give me a call.

Signature

Submit

412

414

416

420

422

FIG. 20

lert

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PaineWebber E-lert - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Stop Refresh Home Search Favorites History Mail Print Edit Discard

Address: T:\Prototype\Internal_main.htm

PaineWebber E-lert System

Create New Touchpoint for Future Expiring Options E-lert

Step 1: Enter Expiration Date and Reply To

Expires on (mm/dd/yyyy)

Reply To: CSA

Step 2: Enter Salutation if desired

Salutation:

Step 3: Type in text for touchpoint

Step 4: Enter Signature if desired

Signature:

Submit

Done Local intranet

FA Preferences
FA View of Client Preferences
FA View
Management View
E-lert Maintenance
Touchpoint
Registration and Login

FIG. 21

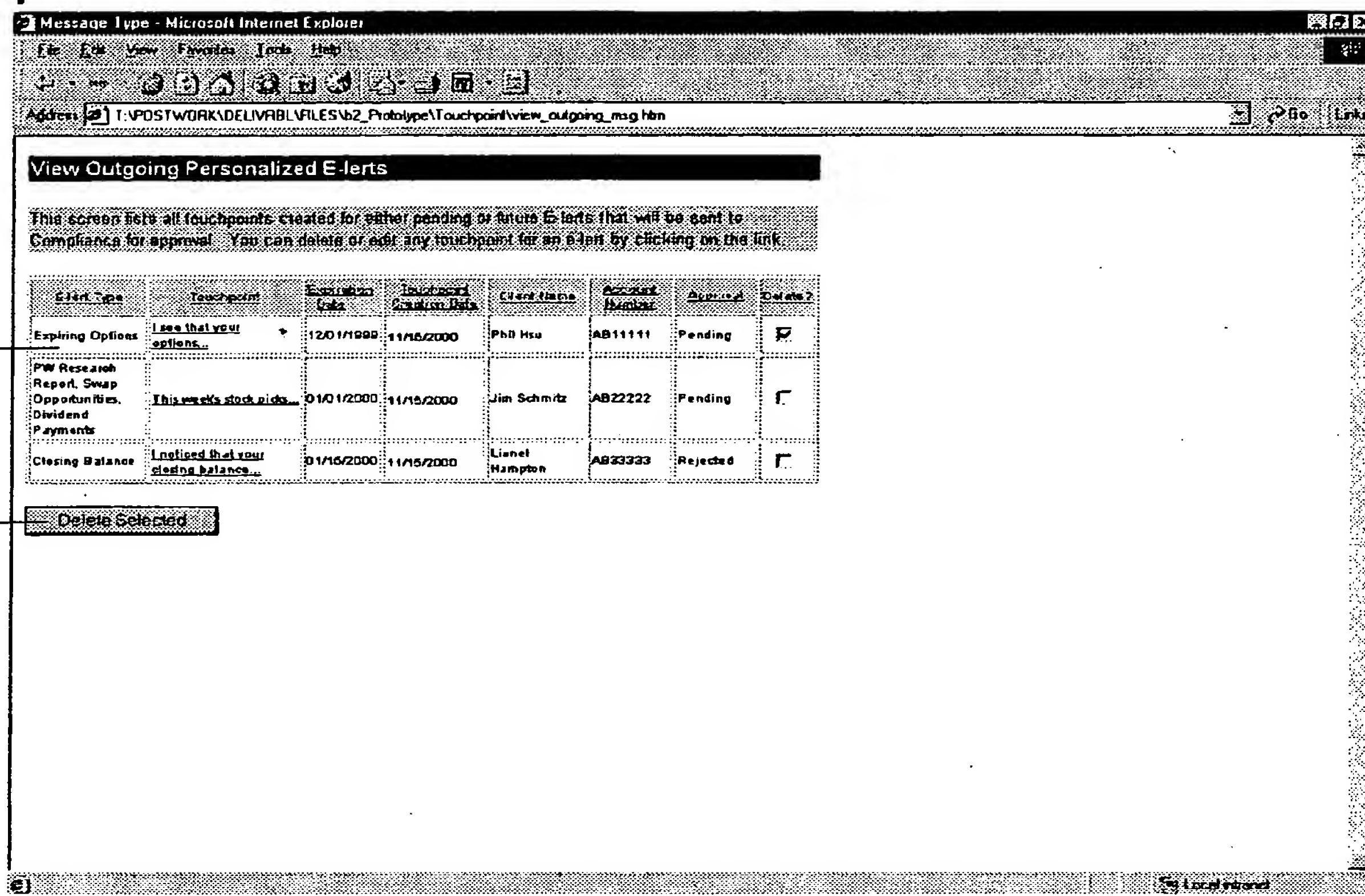


FIG. 22

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FIG. 23

Alert

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PaineWebber E-Alert System

Create New Product Touchpoint for Future Expiring Options E-Alert

FA Preferences • Step 1: Enter Expiration Date and Reply To

FA View of Client Preferences • Expires on (mm/dd/yyyy) 438

FA View • Step 2: Type in text for touchpoint 440

Management View •

E-Alert Maintenance • newproduct.doc
look_at_this.doc

Touchpoint • Add Attachments 442

Registration and Login • Submit

Create Manual Message •

444

FIG. 24

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Add Product Touchpoint to E-Alerts

Step 1: Search for E-Alerts to touchpoint

E-Alert Category	E-Alert Type Template	Broker Name	FA ID Number	Wire Code
Portfolio Related	Expiring Options	<input type="text"/>	<input type="text"/>	<input type="text"/>

Search

Step 2: Choose which future E-Alerts to personalize with a touchpoint

E-Alert Count: 2

E-Alert Category	E-Alert Type Template	Broker Name	FA ID Number	Wire Code	Select?
Portfolio Related	<u>Expiring Options</u>	Phil Hsu	<input type="text"/>	<input type="text"/>	<input checked="" type="checkbox"/>
Portfolio Related	<u>Closing Balance</u>	Jim Schmitz	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>

Select All

Unselect All

Step 3: Create touchpoint

Create Touchpoint

FIG. 25

PaineWebber E-Alert System

View Outgoing Product E-Alerts

This screen lists all touchpoints created for either pending or future E-Alerts that will be sent. You can delete or add any touchpoint for an e-alert by clicking on the link.

E-Alert Type	Touchpoint	Generation Date	Last Used Date	Broker/ Advisor	EA ID Number	Active?
Expiring Options	Check out this new option product...	12/01/1999	11/15/2000	Phil Hsu	AB11111	R
PW Research Report	This week's stock picks...	01/01/2000	11/16/2000	Jim Schmitz	AB22222	F
Closing Balance	I noticed that your closing balance...	01/15/2000	11/15/2000	Lionel Hampton	AB33333	F

EA Preferences

EA View of Client Preferences

EA View

Management View

E-Alert Maintenance

Touchpoint

Registration and Login

Create Manual Message

← 44

← 448

Populate Template - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Address: T:\POSTWORK\DELMRBL\FILES\vb2_Prototype\Touchpoint\edit_product_elet.htm

Edit Outgoing Product E-let

Step 1: Enter Expiration Date

Expires on (mm/dd/yyyy) 01/01/2000

E-let Template Text

Your <number_of_options> options of <stock> at <strike_price> strike price are expiring <expiration_date>

Step 2: Typain/Touchpoint

Please check out this product.

Step 3: Attach Documents

newproduct.doc
look_at_this.doc

Add Attachments

Submit

← 450

FIG. 27

1. The first step is to identify the problem or question that needs to be addressed. This involves understanding the context and the specific requirements of the task.

Abstract

Additional Features 460

**Online Chat
System 462**

**Video
Conferencing
System 464**

**Webcasting
System 466**

FIG. 29

FIG. 30

84
E-LERT TYPE: FOR ALL E-LERTS EXCLUDING TRADE ACTIVITY
FROM: ELECTRONIC MESSAGING SYSTEM
SUBJECT: MESSAGE ABOUT YOUR PORTFOLIO

82

THE FOLLOWING E-LERT(S) ARE NOW AVAILABLE IN YOUR INBOX: — 85
RESEARCH REEVALUATION — 86
BONDS MATURING
RESEARCH REPORT - INVESTMENT POLICY: HIGHLIGHTED STOCKS: SEPTEMBER UPDATES
TO ACCESS YOUR MESSAGE(S), CLICK ON THE LINK BELOW TO LOG ON. THEN CLICK THE E-LERT TAB.
HTTP://WWW.XYZ.ABZ — 88
NOTE: THIS MESSAGE WILL BE AVAILABLE FOR YOUR REVIEW UNTIL MM/DD/YY (CURRENT DAY + X)

90

FIG. 31

1974	2010
1975	2011
1976	2012
1977	2013
1978	2014
1979	2015
1980	2016
1981	2017
1982	2018
1983	2019
1984	2020
1985	2021
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2074	2110
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2102	2138
2103	2139
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2106	2142
2107	2143
2108	2144
2109	2145
2110	2146
2111	2147
2112	2148
2113	2149
2114	2150
2115	2151
2116	2152
2117	2153
2118	2154
2119	2155
2120	2156
2121	2157
2122	2158
2123	2159
2124	2160
2125	2161
2126	2162
2127	2163
2128	2164
2129	2165
2130	2166
2131	2167
2132	2168
2133	2169
2134	2170
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2158	2194
2159	2195

E-LERT TYPE: TRADE ACTIVITY—73

FROM: ELECTRONIC MESSAGING SYSTEM
SUBJECT: MESSAGE ABOUT YOUR PORTFOLIO

THE FOLLOWING E-LET(S) ARE NOW AVAILABLE IN YOUR INBOX: — 74

ORDER STATUS - OPEN-----76

TO ACCESS YOUR MESSAGE(S), CLICK ON THE LINK BELOW TO LOG ON. THEN CLICK THE E-LERT TAB.

HTTP://WWW.XYZ.ABZ——78

NOTE: THIS IS NOT A LEGAL CONFIRMATION OF YOUR ORDER. INSTEAD IT IS A COMPLETE RECAP OF YOUR ORDER. UPON EXECUTION, AN ACTUAL TRADE CONFIRMATION WILL BE MAILED TO YOU. YOU CAN ALSO CONFIRM THE EXECUTION OF YOUR ORDER BY YOUR FINANCIAL ADVISOR, OR BY REFERRING TO THE TRANSACTION DETAIL SCREEN.

08

FIG. 30

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E-lets Summary Screen:

You have 4 unread messages.—— 94

Please click on the envelope to read the full message:

	Date	Time	Message Summary
96	<input checked="" type="checkbox"/> Dd/mm	00:00 am	Research Reevaluation
	<input checked="" type="checkbox"/> Dd/mm	00:00 am	Maturing Securities
	<input checked="" type="checkbox"/> Dd/mm	00:00 am	Maturing Bonds
	<input checked="" type="checkbox"/> Dd/mm	00:00 am	Order Status—Open

Sorted in descending date order

98

FIG. 32



TYPE: RESEARCH REEVALUATION

RESEARCH REEVALUATION - THE FOLLOWING SECURITY(S) IN YOUR PORTFOLIO HAVE RECEIVED NEW RATINGS FROM THE INTERNAL RESEARCH DEPARTMENT:

A/C#	ACTION	SYMBOL	SECURITY DESCR.	QTY.	CLOSING PRICE	CLOSING MKT. VALUE	NEW RATING	OLD RATING	DATE
XXX	DOWN	DOW	DOW CHEM.	1.196L	114 3/4	\$137,241	NEUTRAL	ATTRACT	1/1/00

PLEASE CONTACT YOUR FINANCIAL ADVISOR IF YOU HAVE ANY QUESTIONS OR WOULD LIKE TO DISCUSS THIS MATERIAL

THE INFORMATION ABOVE IS BELIEVED TO BE RELIABLE, BUT ITS ACCURACY CANNOT BE GUARANTEED. THIS COMPANY, ITS AFFILIATED COMPANIES, AND/OR THEIR OFFICERS, DIRECTORS, EMPLOYEES OR STOCKHOLDERS MAY AT TIMES HAVE A POSITION, INCLUDING AN ARBITRAGE POSITION, IN THE SECURITIES DESCRIBED HEREIN AND MAY SELL OR BUY THEM TO OR FROM THEIR CUSTOMERS. THESE COMPANIES MAY FROM TIME TO TIME ACT AS A CONSULTANT TO A COMPANY BEING REPORTED UPON.

FIG. 34

TYPE: EXPIRING OPTIONS

EXPIRING OPTIONS - THE FOLLOWING OPTIONS IN YOUR PORTFOLIO WILL BE EXPIRING IN THE NEXT TWO WEEKS:

A/C#	SYMBOL	QTY.	SECURITY DESCR.	EXPIR. DATE	STRIKE PRICE	CLOSING PRICE	CLOSING STOCK	CLOSING MKT. VALUE
XXX	CIK	-16S /4	CALL CITI	1/1/00	55	6 1/4	44	-100

FIG. 35

TYPE: CALLED BONDS

CALLED BONDS - THE FOLLOWING BONDS IN YOUR PORTFOLIO ARE SCHEDULED TO BE CALLED IN THE NEXT TWO WEEKS:

A/C#	SECUR.	QTY.	SECURITY DESCR.	S&P	INT. RATE	MATURING DATE	CALL DATE	CALL PRICE	QTY CALLED	CALLED BOND VAL.
XXX	B44YY6	10L	NJHEALTH	AAA	6.750	1/1/01	1/1/00	1020.00	10L	\$10,200

FIG. 36

TYPE: MATURING SECURITIES

MATURING SECURITIES - THE FOLLOWING BONDS IN YOUR PORTFOLIO WILL BE MATURING IN THE NEXT TWO WEEKS:

A/C#	SECUR.	QTY.	SECURITY DESCR.	S&P	INT. RATE	MATURING DATE	MATURING VALUE
XXX	E37KV0	5L	TEMPE	AAA	4.750	1/1/01	\$5000

FIG. 37

TYPE: ORDER STATUS

ORDER STATUS - OPEN

AN ORDER TO SELL 500 AOL AT MKT IN ACCOUNT AB 22343 HAS BEEN PLACED. ORDER NUMBER AB 1000

THIS IS NOT A LEGAL CONFIRMATION OF YOUR ORDER. INSTEAD IT IS A COMPLETE RECAP OF YOUR ORDER. UPON EXECUTION, AN ACTUAL TRADE CONFIRMATION WILL BE MAILED TO YOU. YOU CAN ALSO CONFIRM THE EXECUTION OF YOUR ORDER BY YOUR FINANCIAL ADVISOR, OR BY REFERRING TO THE TRANSACTION DETAIL SCREEN.

FIG. 38

124	126	128	130	132
				↓
DESCRIPTION	DEFINITION	DELIVERY	SUMMARY	MESSAGE TO CLIENT MESSAGE
OPEN	A BUY OR SELL THAT HAS NOT BEEN EXECUTED.	IMMEDIATE	ORDER STATUS - OPEN	AN ORDER TO SELL 500 AOL AT MKT DAY IN ACCOUNT AB 22343 HAS BEEN PLACED. ORDER NUMBER AB 1000. THIS IS NOT A LEGAL CONFIRMATION OF YOUR ORDER. INSTEAD IT IS A COMPLETE RECAP OF YOUR ORDER. UPON EXECUTION, AN ACTUAL TRADE CONFIRMATION WILL BE MAILED TO YOU. YOU CAN ALSO CONFIRM THE EXECUTION OF YOUR ORDER BY YOUR FINANCIAL ADVISOR, OR BY REFERRING TO THE TRANSACTION DETAIL SCREEN.
EXECUTED	EXECUTION MEANS THAT AN ORDER HAS BEEN FILLED (CARRIED OUT).	IMMEDIATE	ORDER STATUS - EXECUTED	YOUR ORDER TO SELL 500 AOL AT MKT IN ACCOUNT AB 22343 HAS BEEN EXECUTED AT AN AVERAGE PRICE OF 98 3/16. THE ESTIMATED TOTAL COST OF THE TRADE IS \$49093.75. ORDER NUMBER AB 1000. THIS IS NOT A LEGAL CONFIRMATION OF YOUR ORDER. INSTEAD IT IS A COMPLETE RECAP OF YOUR ORDER. UPON EXECUTION, AN ACTUAL TRADE CONFIRMATION WILL BE MAILED TO YOU. YOU CAN ALSO CONFIRM THE EXECUTION OF YOUR ORDER BY YOUR FINANCIAL ADVISOR, OR BY REFERRING TO THE TRANSACTION DETAIL SCREEN.

FIG. 39

124	126	128	130	132
DESCRIPTION	DEFINITION	DELIVERY	SUMMARY	MESSAGE TO CLIENT MESSAGE
PARTIALLY EXECUTED	PART OF AN ORDER HAS BEEN FILLED AND THE REMAINING QUANTITY IS STILL IN FORCE (OPEN) AN AWAITING EXECUTION.	IMMEDIATE	ORDER STATUS - PARTIAL EXECUTION	YOUR ORDER TO BUY 100C AT 46 5/8 IN ACCOUNT AB 22343 HAS BEEN PARTIALLY EXECUTED. 400 C EXECUTED AT 46 1/2. THE ESTIMATED COST OF THE TRADE IS \$18600.00. ORDER NUMBER AB 1001. THIS IS NOT A LEGAL CONFIRMATION OF YOUR ORDER. INSTEAD IT IS A COMPLETE RECAP OF YOUR ORDER. UPON EXECUTION, AN ACTUAL TRADE CONFIRMATION WILL BE MAILED TO YOU. YOU CAN ALSO CONFIRM THE EXECUTION OF YOUR ORDER BY YOUR FINANCIAL ADVISOR, OR BY REFERRING TO THE TRANSACTION DETAIL SCREEN.
CANCELLED	VOID AN ORDER TO BUY OR SELL.	IMMEDIATE	ORDER STATUS - CANCELED	YOUR ORDER TO BUY 600 C AT 46 5/8 LMT IN ACCOUNT AB 22343 HAS BEEN CANCELLED. ORDER NUMBER AB 1001. THIS IS NOT A LEGAL CONFIRMATION OF YOUR ORDER. INSTEAD IT IS A COMPLETE RECAP OF YOUR ORDER. UPON EXECUTION, AN ACTUAL TRADE CONFIRMATION WILL BE MAILED TO YOU. YOU CAN ALSO CONFIRM THE EXECUTION OF YOUR ORDER BY YOUR FINANCIAL ADVISOR, OR BY REFERRING TO THE TRANSACTION DETAIL SCREEN.

FIG. 40

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↓

PaineWebber E-Alert Microsoft Internet Explorer provided by Sapien New York

File Edit View Go Favorites Help

Back Stop Refresh Home Search Favorites History Channels Favorites Mail Print Edit

Address http://dskp1/Demo/external_main.html

PaineWebber E-Alerts Demonstration

E-Alerts **Your E-Alert Inbox** Your E-Alert Preferences

Client View

To sort the results, click on any of the column headers

E-Alert Count: 3

166

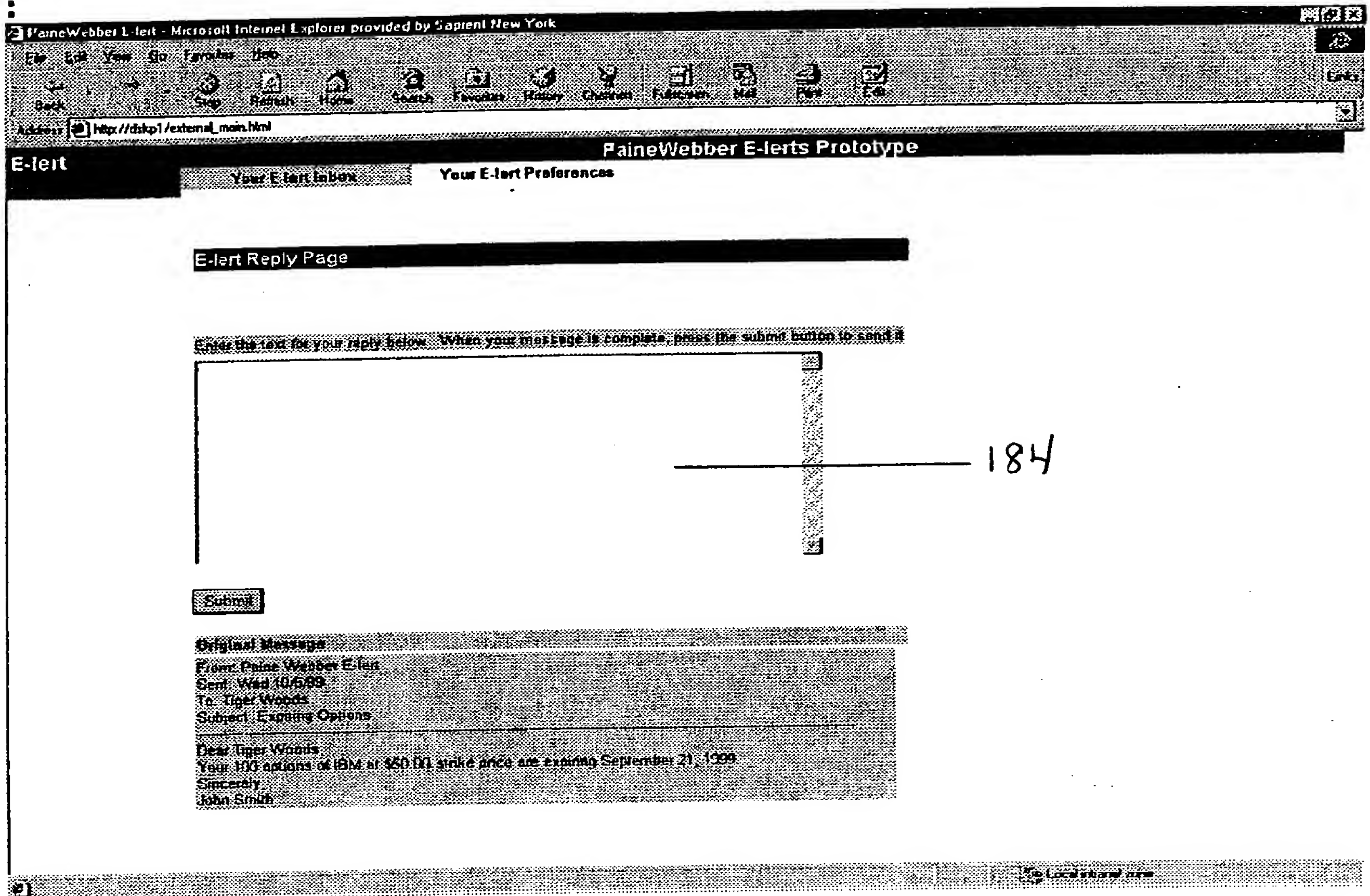
168 170 172 174 176 180

Status	Date	Account Number	Subject	Message	Delete?	Reply To
<input checked="" type="checkbox"/>	11/5/1999	AB 11111	Expiring Options	Hi Y'all. The following options are	<input type="checkbox"/>	Reply
<input checked="" type="checkbox"/>	11/5/1999	AB 11111	Maturing Bonds	The following bonds are maturing	<input type="checkbox"/>	Reply
<input checked="" type="checkbox"/>	11/5/1999	AB 11112	Open	An order to SELL 500 at MKT	<input type="checkbox"/>	Reply

Date Selected

FIG. 41

182



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FIG. 42

00687899, 404300

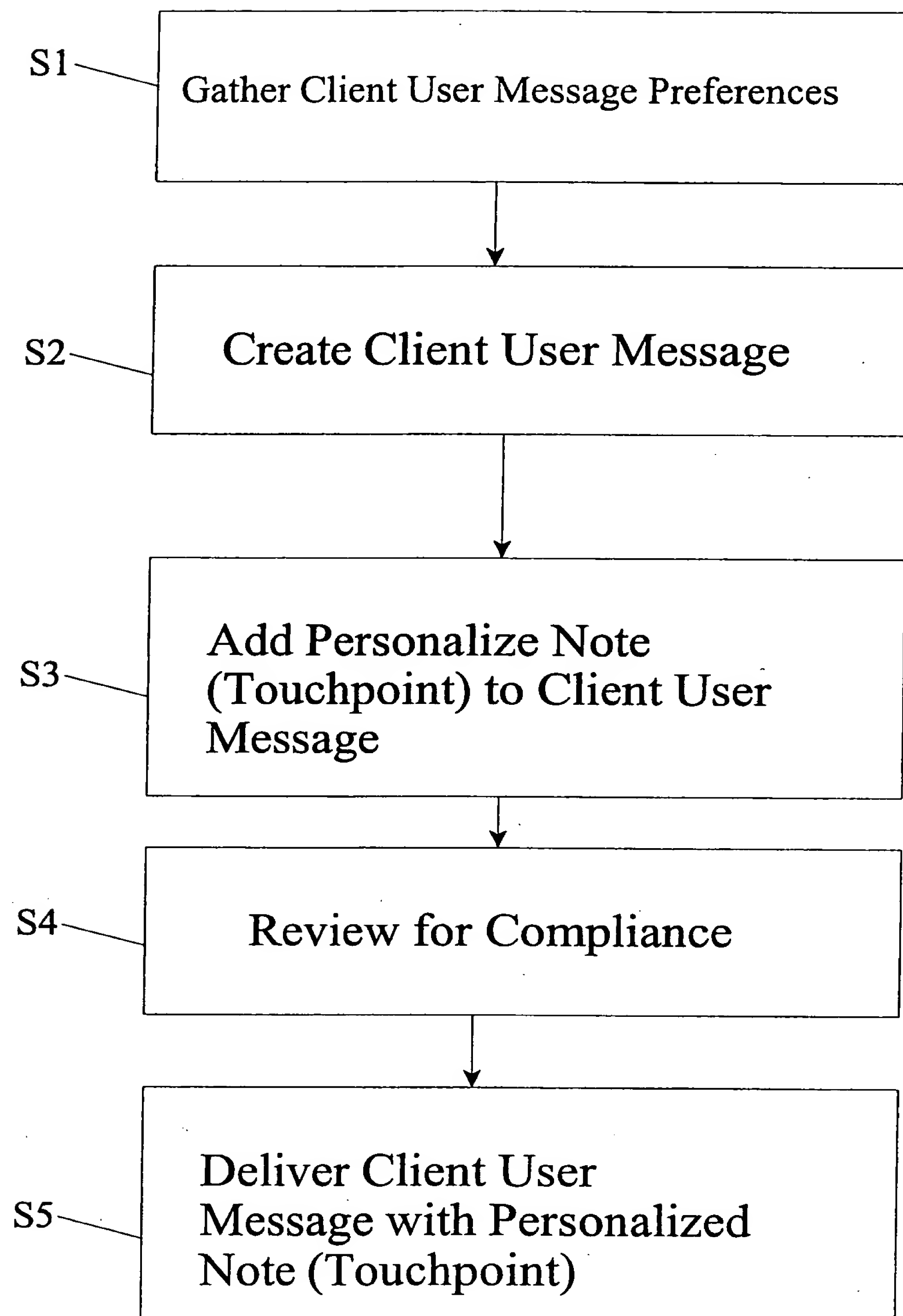


FIG. 43